



Sheet 1 of 1

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|--|--|--|---------------------------------------|-------------------------------|
| Substitute Form PTO-1449<br>(Modified)   |  | U.S. Department of Commerce<br>Patent and Trademark Office | Attorney's Docket No.<br>12258-030001 | Application No.<br>10/635,330 |
| <b>Information Disclosure Statement<br/>by Applicant</b><br>(Use several sheets if necessary)<br>(37 CFR §1.98(b)) |  | Applicant<br>Marshik-Geurts et al.                         |                                       |                               |
|  |  | Filing Date<br>August 5, 2003                              | Group Art Unit<br>3737                |                               |

| U.S. Patent Documents |           |                 |                  |               |       |          |                            |
|-----------------------|-----------|-----------------|------------------|---------------|-------|----------|----------------------------|
| Examiner Initial      | Desig. ID | Document Number | Publication Date | Patentee      | Class | Subclass | Filing Date If Appropriate |
| SC                    | AA        | 5,197,470       | 03/30/1993       | Helper et al. | 128   | 634      |                            |
|                       | AB        | 5,293,872       | 03/15/1994       | Alfano et al. | 128   | 664      |                            |
|                       | AC        | 5,441,053       | 08/15/1995       | Lodder et al. | 128   | 664      |                            |
|                       | AD        | 6,405,065       | 06/11/2002       | Malin et al.  | 600   | 310      |                            |
| SC                    | AE        | 6,564,088       | 05/13/2003       | Soller et al. | 600   | 478      |                            |

| Foreign Patent Documents or Published Foreign Patent Applications |           |                 |                  |                          |       |          |             |
|---|-----------|-----------------|------------------|--------------------------|-------|----------|-------------|
| Examiner Initial  | Desig. ID | Document Number | Publication Date | Country or Patent Office | Class | Subclass | Translation |
|   |           |                 |                  |                          |       |          | Yes No      |
| SC  | AF        | WO 00/19889     | 04/13/2000       | WIPO                     | A61B  | 5/00     |             |

| Other Documents (include Author, Title, Date, and Place of Publication) |           |  |
|---|-----------|--|
| Examiner Initial  | Desig. ID | Document   |
| SC  | AG        | Cassis et al., "Cardiovascular Near-Infrared Imaging," Wav. Fut., date unknown   |
|   | AH        | Cassis et al., "Cardiovascular Near-Infrared Imaging"<br><a href="http://www.pharm.uky.edu/ASRG/wave/cardiovascular_near-JR.html">http://www.pharm.uky.edu/ASRG/wave/cardiovascular_near-JR.html</a> 9 pages, (2001)             |
|   | AI        | Cassis et al., "Near-IR Imaging of Atheromas in Living Arterial Tissue" <i>Analytical Chemistry</i> , 65:1247-1256 (1993)  |
|   | AJ        | Jaross et al., "Determination of cholesterol in atherosclerotic plaques using near infrared diffuse reflection spectroscopy" <i>Atherosclerosis</i> 147:327-337(1999)  |
|   | AK        | Moreno et al., "Detection of Lipid Pool, Thin Fibrous Cap, and Inflammatory Cells in Human Aortic Atherosclerotic Plaques by Near-Infrared Spectroscopy" <i>Circulation</i> , 105:923-927 (2002)                                 |
|   | AL        | Moreno et al., "Detection of Lipid-Rich Plaques with Near Infrared Spectroscopy In-Vivo," American College of Cardiology Annual Scientific Session, poster presentation, March 18-21, 2001                                       |
|   | AM        | Moreno et al., "Detection of Lipid-Ricj Plaques With Near Infrared Spectroscopy In-Vivo" <i>Poster at American College of Cardiology conference, March 2001.</i> (1 page)  |
|   | AN        | V. Neumeister et al. "Determination of the cholesterol-collagen ratio of arterial atherosclerotic plaques using near infrared spectroscopy as a possible measure of plaque stability" <i>Atherosclerosis</i> 165: 251-257 (2002) |
| SC  | AO        | Wang et al., "Near-infrared Spectroscopic Characterization of Human Advanced Atherosclerotic Plaques", <i>J. American College of Cardio.</i> 39:1305-13 (2002)   |

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|--|-----------------------------------|
| Examiner Signature<br><i>Sawyer Geurts</i>   | Date Considered<br><i>1/17/07</i> |
| EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. |                                   |

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|   |  |  |  | Group Art Unit<br>3737                |                               |

| <b>U.S. Patent Documents</b> |           |                 |                  |                   |       |          |                            |
|------------------------------|-----------|-----------------|------------------|-------------------|-------|----------|----------------------------|
| Examiner Initial             | Desig. ID | Document Number | Publication Date | Patentee          | Class | Subclass | Filing Date If Appropriate |
| SC                           | AA        | 6,615,071 B1    | 09/02/03         | Casscells, et al. |       |          |                            |

| <b>Foreign Patent Documents or Published Foreign Patent Applications</b> |           |                 |                  |                          |       |          |                            |
|--|-----------|-----------------|------------------|--------------------------|-------|----------|----------------------------|
| Examiner Initial   | Desig. ID | Document Number | Publication Date | Country or Patent Office | Class | Subclass | Translation<br>Yes      No |
|  | AB        |                 |                  |                          |       |          |                            |

| <b>Other Documents (include Author, Title, Date, and Place of Publication)</b> |           |  |  |  |  |  |  |
|--|-----------|--|--|--|--|--|--|
| Examiner Initial   | Desig. ID | Document   |  |  |  |  |  |
| SC   | AC        | International Search Report for PCT Application No. PCT/US03/24452 (3 pages) |  |  |  |  |  |

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|--|-----------------------------------|
| Examiner Signature<br><i>Sanya Cattani</i>   | Date Considered<br><i>1/17/07</i> |
| EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. |                                   |